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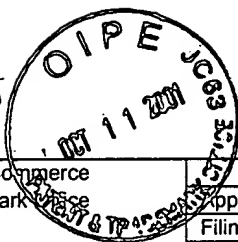
PTO/SB/21 (modified)
Approved for use through xx/xx/xx, OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM <i>(to be used for all correspondence during pendency of filed application)</i>	0001/PTO Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office	Application Number	09/851,593
			Filing Date	May 8, 2001
			First Named Inventor	Tian Shen
			Group Art Unit Number	2633
			Examiner Name	Not yet known
Total Number of Pages in This Submission 10			Attorney Docket Number	20852-05135

ENCLOSURES (check all that apply)	
<input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate) <input checked="" type="checkbox"/> Check Enclosed <input checked="" type="checkbox"/> Return Receipt Postcard <input checked="" type="checkbox"/> Response to Notice to File Missing Parts (2 pages) <input type="checkbox"/> Assignment & Recordation Cover Sheet <input checked="" type="checkbox"/> Declaration (4 pages) <input type="checkbox"/> Power of Attorney <input type="checkbox"/> Application Data Sheet <input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Cited References <input type="checkbox"/> Request for Corrected Filing Receipt <input type="checkbox"/> Request for Correction of Recorded Assignment <input type="checkbox"/> Amendment/Response: [] Page(s) <input type="checkbox"/> After Final <input type="checkbox"/> Status Request <input type="checkbox"/> Revocation and Substitute Power of Attorney	<input type="checkbox"/> Issue Fee Transmittal <input type="checkbox"/> Letter to Chief Draftsperson <input type="checkbox"/> Formal Drawing(s): [] Sheet(s) of Figure(s) [] <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> After Allowance Communication to Group <input checked="" type="checkbox"/> Notice To File Missing Parts Of Nonprovisional Application _____ _____ _____ _____ _____
REMARKS:	

SIGNATURE OF ATTORNEY OR AGENT		
Signature:	<i>Eileen A. Lehmann</i>	
Attorney/Reg. No.:	Eileen A. Lehmann, Reg. No. 39,272	Dated: 10/05/01

CERTIFICATE OF MAILING		
I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.		
Signature:	<i>Eileen A. Lehmann</i>	
Typed or Printed Name:	Eileen A. Lehmann	Dated: 10/05/01
Express Mail Mailing Number (optional):		



PTO/SB/17 (10-00)(modified)
Approved for use through 09/29/01, OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

0002 (Rev. 10/2000)
U.S. Department of Commerce
Patent and Trademark Office

FEE TRANSMITTAL

TOTAL AMOUNT OF PAYMENT

Subtotal (1) + Subtotal (2) + Subtotal (3) =

(\$ 724.00)

Complete if Known

Application Number	09/851,593
Filing Date	May 8, 2001
First Named Inventor	Tian Shen
Group Art Unit	2633
Examiner Name	Not yet known
Attorney Docket Number	20852-05135

METHOD OF PAYMENT

1. The Commissioner is hereby authorized to:

- ☐ Charge the indicated fees to the below mentioned deposit account.
- ☒ Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account.¹
- ☒ Applicant claims small entity status
See 37 CFR 1.27

Deposit Account Number: 19-2555

Deposit Account Name: FENWICK & WEST LLP

A Duplicate Copy of this authorization is attached

2. ☒ Payment Enclosed:

☒ Check ☐ Credit Card ☐ Other

FEE CALCULATION (fees effective 10/01/2000)

1. FILING FEE

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
101/\$710	201/\$355	Utility Filing	355
106/\$320	206/\$160	Design Filing	
108/\$710	208/\$355	Reissue	
114/\$150	214/\$75	Provisional Filing	
SUBTOTAL (1)			(\$ 355)

2. CLAIMS

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description
103/\$18	203/\$9	Claims in excess of 20
102/\$80	202/\$40	Independent claims in excess of 3
104/\$270	204/\$135	Multiple dependent claim
109/\$80	209/\$40	Reissue independent claims over original patent
110/\$18	210/\$9	Reissue claims in excess of 20 and over original patent

3. ADDITIONAL FEES

Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due
105/\$130	205/\$65	Surcharge - late filing fee or oath	65
127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet	
147/\$2,520	147/\$2,520	For filing a request for reexamination	
115/\$110	215/\$55	Extension for response within first month ¹	
116/\$390	216/\$195	Extension for response within second month ¹	
117/\$890	217/\$445	Extension for response within third month ¹	
118/\$1,390	218/\$695	Extension for response within fourth month ¹	
128/\$1,890	228/\$945	Extension for response within fifth month ¹	
119/\$310	219/\$155	Notice of Appeal	
141/\$1,240	241/\$620	Petition to revive unintentionally abandoned application	
142/\$1,240	242/\$620	Utility Issue Fee (Or Reissue)	
143/\$440	243/\$220	Design Issue Fee	
122/\$130	122/\$130	Petitions to the Commissioner	
126/\$180	126/\$180	Submission of Information Disclosure Statement	
179/\$710	279/\$355	Request for Continued Examination (RCE)	
581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)	
146/\$710	246/\$355	Filing a submission after final rejection (37 CFR 1.129(a))	
149/\$710	249/\$355	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify):			
Other fee (specify):			
SUBTOTAL (3)			(\$ 65)

(Col. 1)		(Col. 2)		(Col. 3)		Fee Due	
For	No. of Existing Claims	Highest No. Previously Paid For		Extra**	Fee		
TOTAL	36	20	=	16	x 9	=	144
INDEP	7	3	=	4	x 40	=	160
[] First presentation of multiple dependent claim							

* Subtract the greater number of Col. 2

** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3

SUBTOTAL (2) (\$ 304)

SUBMITTED BY

Typed or Printed Name **Eileen A. Lehmann**

Signature

Eileen A. Lehmann

Complete (if applicable)

Reg. Number **39,272**

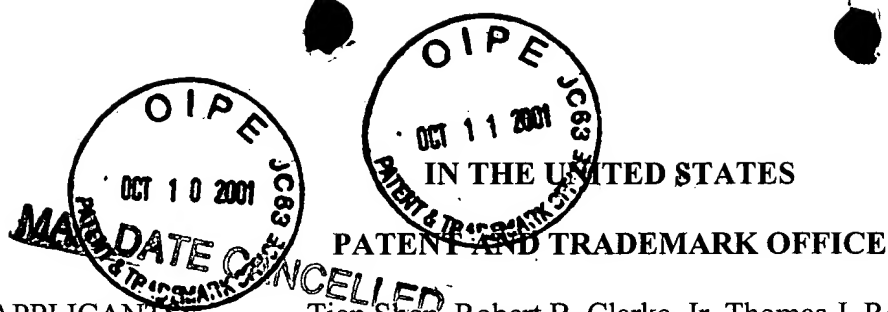
Date

10/05/01

20852/05135/DOCS/1199108.1

¹ Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby

PATENT



APPLICANTS: Tian Shen, Robert B. Clarke, Jr. Thomas J. Roman, David B. Upham,
David A. Pechner and Laurence J. Newell

APPLICATION NO.: 09/851,593

FILING DATE: May 8, 2001

TITLE: Variable Rate High-Speed Input And Output In Optical Communication
Networks

EXAMINER: Not yet known

GROUP ART UNIT: 2633

ATTY. DKT. NO.: 20852-05135

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Missing Parts, Commissioner For Patents, Washington, D.C. 20231, on the date shown below:

Dated: Oct. 5, 2001

By: Eileen A. Lehmann
Eileen A. Lehmann, Reg. No.: 39,272

BOX MISSING PARTS
COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

**RESPONSE TO NOTICE TO FILE MISSING
PARTS OF APPLICATION**

SIR:

Responsive to the Notice to File Missing Parts dated July 6, 2001 received in the above-identified patent application,

☒ Enclosed are:

- ☒ a copy of the Notice to File Missing Parts;
- ☒ an original, signed Declaration;
- ☐ an original, signed Power of Attorney;
- ☐ an Application Data Sheet;

☒ payment in the amount of \$724.00 for the

☒ application filing fee;

☒ fee for additional claims; and

☒ missing parts surcharge.

☐ Other

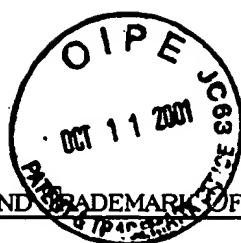
☒ Applicant claims small entity status under 37 C.F.R. § 1.27.

Respectfully submitted,
Tian Shen, Robert B. Clarke, Jr. Thomas J. Roman,
David B. Upham, David A. Pechner and Laurence J.
Newell

Dated: October 5, 2001

By: Eileen A. Lehmann
Eileen A. Lehmann, Reg. No.: 39,272
Fenwick & West LLP
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Tel.: (650) 858-7246
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20852/05135/DOCS/1199068.1



UNITED STATES PATENT AND TRADEMARK OFFICE

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 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/851,593	05/08/2001	Tian Shen	20852-05135

CONFIRMATION NO. 2616

 00758
 FENWICK & WEST LLP
 TWO PALO ALTO SQUARE
 PALO ALTO, CA 94306

FORMALITIES LETTER



OC000000006266595

Date Mailed: 07/06/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$608.
 - \$288 for 16 total claims over 20.
 - \$320 for 4 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1448.

*A copy of this notice **MUST** be returned with the reply.*

 H.T.
 Customer Service Center
 Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/15/2001	MA0011	00000024	192555	09851593
01 FC:201				370.00 OP
02 FC:202				168.00 OP
03 FC:203				144.00 OP
04 FC:205				42.00 OP
				23.00 CH